



Centers for Medicare & Medicaid Services
CMS eXpedited Life Cycle (XLC)

Identity Management (IDM) Quick Reference Guide (QRG)

How to Complete Annual Role Certification (ARC)

Version 1.01

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1. Introduction

The Identity Management (IDM) System enables Approvers to certify the users under their approval authority in accordance with the Centers for Medicare and Medicaid Services (CMS) Annual Role Certification process.

This guide provides step-by-step instructions for Approvers to perform the following tasks in support of annual role certification:

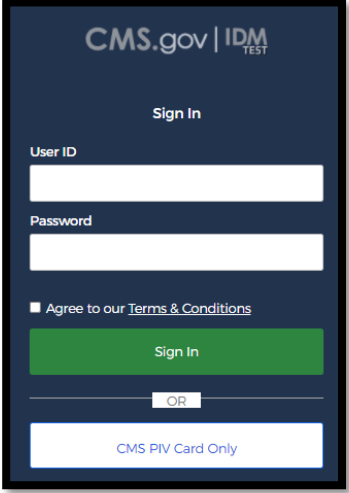
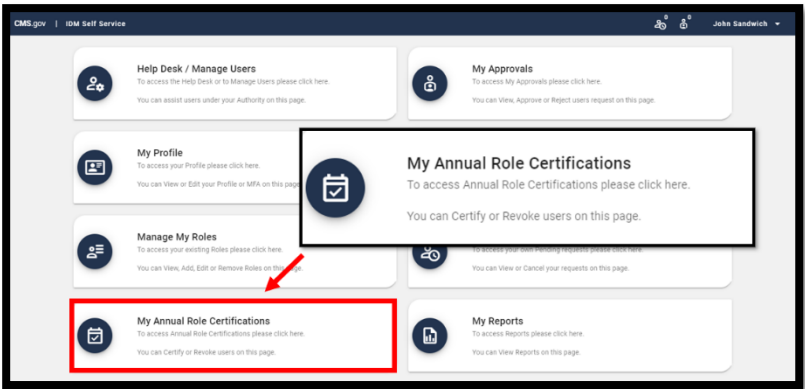
The following terms are introduced in this section:

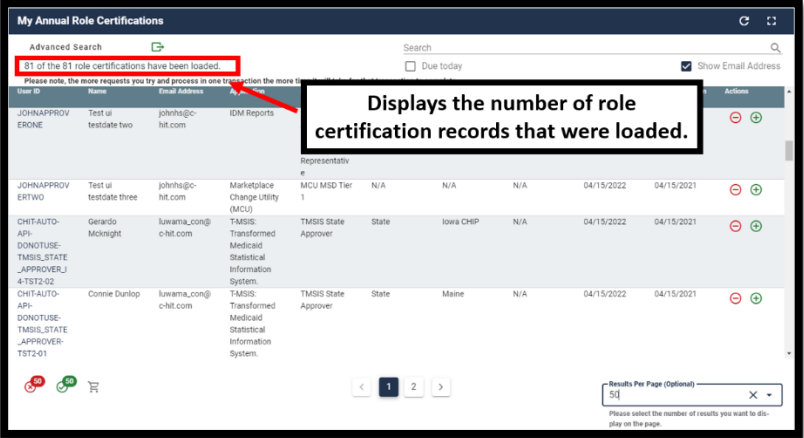
- **Role** - A name given to a set of permissions in an application, e.g., Representative, Submitter, or Authorizer.
- **Annual Role Certification** - The process for extending the role grant for another year. Annual Role Certification is required every year by CMS security policy and is counted from the date of the previous year's certification.
- **Manually Approved Roles** - Roles that are subject to a request and approval process performed by a person. The first or original grant of a manually approved role is valid for one year.
- **Validated Roles** - Roles that are subject to an automated validation check where user provided data is compared to data maintained in a trusted source by a machine. Validated roles have an annual role certification due date of June 1st each year.

NOTE: A user whose roles are revoked will continue to have access to IDM and any application(s) until the nightly job runs. Approvers can immediately remove the user's access via IDM's role removal functionality.

WARNING: The more role certifications you try to process in one transaction, the more time it will take for that transaction to complete.

2. How to View a List of Pending Certifications

Procedure	Example
<p>1) Navigate to https://home.idm.cms.gov and sign in to the IDM System.</p>	 <p>Figure 1: IDM Sign In Window</p>
<p>The IDM Self Service user interface (UI) appears.</p> <p>2) Click the My Annual Role Certifications button.</p> <p><i>NOTE: The My Annual Role Certifications button is only available for users who have an Approver role.</i></p>	 <p>Figure 2: IDM Self Service User Interface</p>

Procedure	Example
<p>The My Annual Role Certifications window appears.</p> <p><i>NOTE: The window displays a list of roles for all users under an Approver's authority that require certification within the next 365 days.</i></p> <p><i>NOTE: A maximum of 1000 records can be displayed at a time.</i></p>	 <p>Figure 3: My Annual Role Certifications Window</p>

3. How to Filter, Sort, and Paginate the List of Pending Certifications

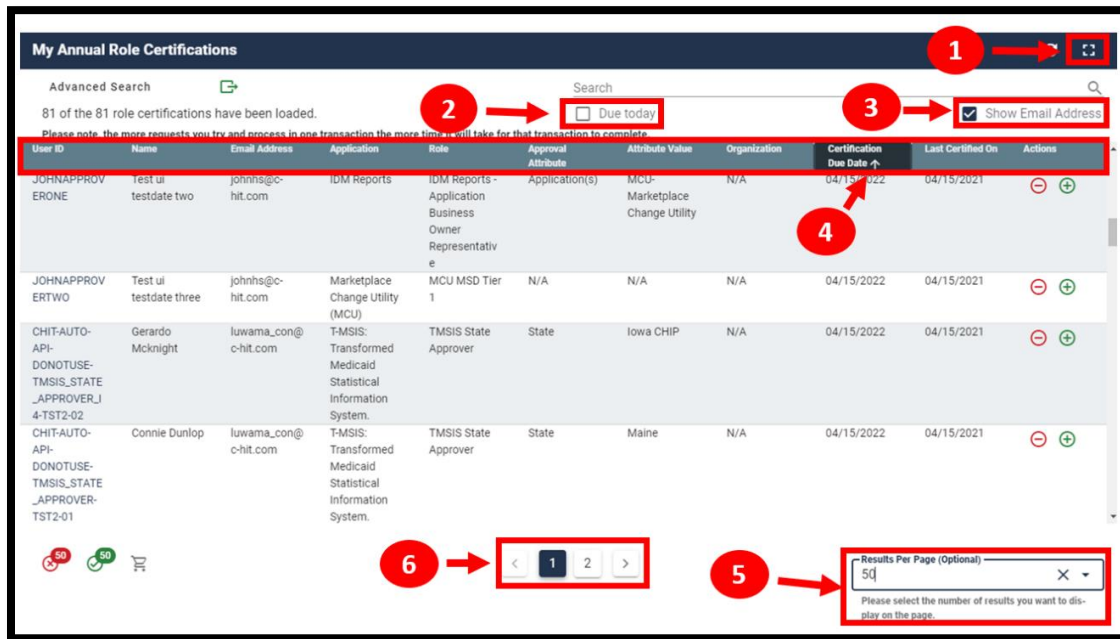


Figure 4: My Annual Role Certifications Window with Controls Highlighted


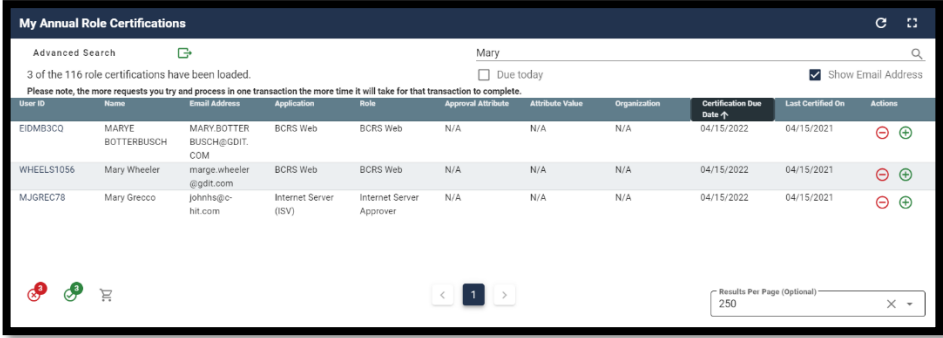
Table 1: My Annual Role Certification Window Control Summary

Task	Reference	Action
View Full Screen	1	Click the Full Screen button to switch between full screen and normal view.
Filter by Current Date	2	Click the Due today box to display only those users whose certifications expire at the end of the current day.
Display Email Addresses	3	Click the Show Email Address box to display or hide the Email Address column. NOTE: The Email Address column must be displayed if you want to perform a Global Search based on a user's email address.
Sort by Column	4	Click the Column Header to sort the list based on the contents of that column.
Change Page Size	5	Select Results Per Page to change the number of records that are displayed on a page.
Page Navigation	6	Click the Arrows or Page Numbers to select the desired page of results.

4. How to Perform a Global Search

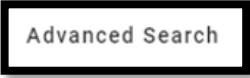
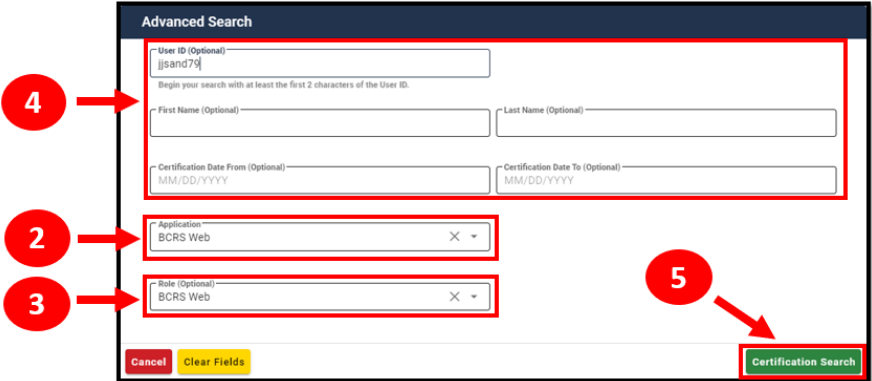
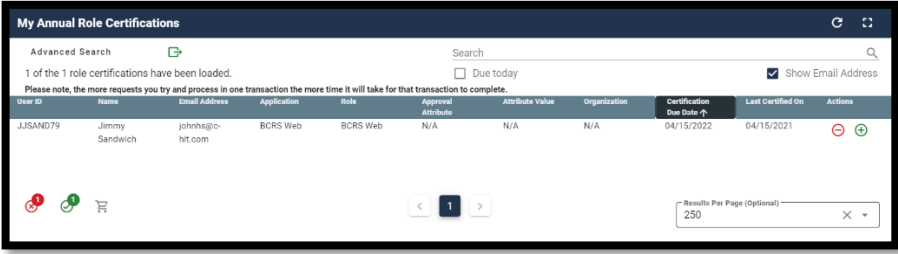
The Global Search enables Approvers to perform a keyword search across all columns of information to narrow the results of the records in their pending role certification queue.

NOTE: The Email Address column must be displayed if you want to perform a Global Search based on a user's email address.

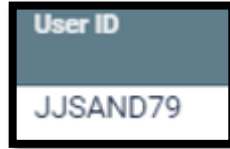
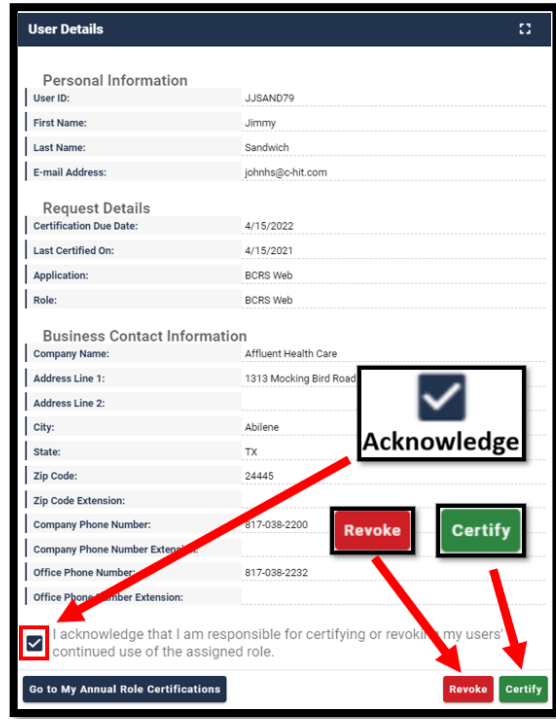
Procedure	Example
1) Open the My Annual Role Certifications window and type a keyword into the Search field.	 <p>Figure 5: Global Search Field</p>
<p><i>The My Annual Role Certifications window only displays records that contain the global search criteria.</i></p>	 <p>Figure 6: My Annual Role Certifications Window</p>

5. How to Perform an Advanced Search

The Advanced Search enables Approvers to perform a search using a combination of date range, application, role, and group (if applicable) to narrow the results of the records in their pending role certification queue.

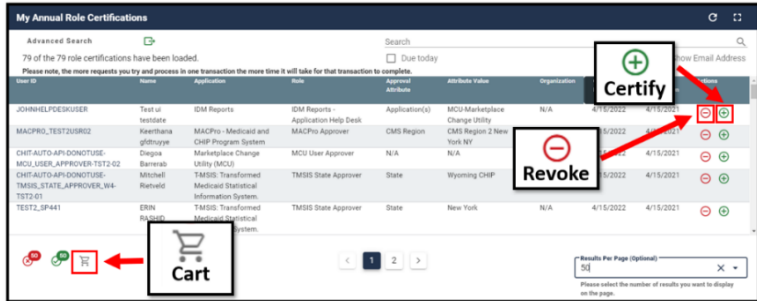
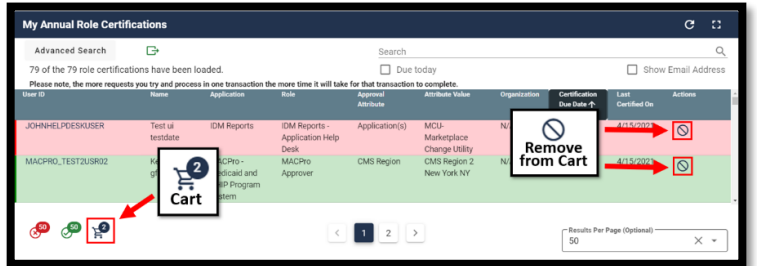
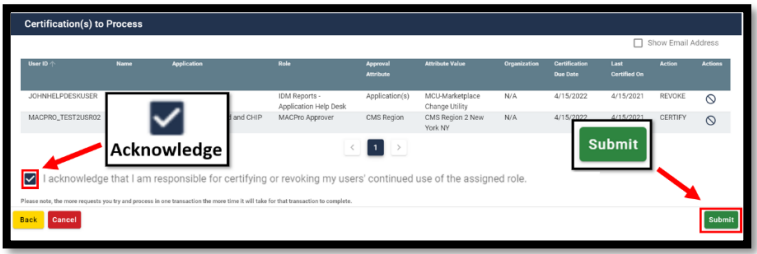
Procedure	Example
<ol style="list-style-type: none"> 1) Open the My Annual Role Certifications window and click the Advanced Search button. 	 <p>Figure 7: Advanced Search Button</p>
<p><i>The Advanced Search window appears.</i></p> <ol style="list-style-type: none"> 2) Select an Application. 3) (Optional) Select a Role. 4) (Optional) Enter any combination of User ID, First Name, Last Name, Certification Date From or Certification Date To. 5) Click the Certification Search button. 	 <p>Figure 8: Global Search Form</p>
<p><i>The My Annual Role Certifications window only displays those pending certification records that meet the search criteria.</i></p>	 <p>Figure 9: My Annual Role Certifications Advanced Search Results</p>

6. How to View User/Role Details and Certify/Revoke a User's Role

Steps	Screenshots
<p>1) Open the My Annual Role Certifications window and click the User ID of the desired user.</p>	 <p>The screenshot shows a box with the text 'User ID' at the top and 'JJSAND79' below it. A red arrow points from the 'User ID' text to the 'JJSAND79' text.</p> <p>Figure 10: User ID Role Details Link</p>
<p><i>The User Details window appears.</i></p> <p>2) Click the Acknowledge box.</p> <p>3) Certify or Revoke the user's role.</p> <p>a. Click the Certify button to certify the user's role.</p> <p>OR</p> <p>b. Click the Revoke button to revoke the user's role.</p> <p><i>The system displays a message that states the action was successful.</i></p>	 <p>The screenshot shows the 'User Details' window. It contains sections for Personal Information, Request Details, and Business Contact Information. At the bottom, there is an 'Acknowledge' box with a checkmark icon and a red arrow pointing to it. Below the 'Acknowledge' box are two buttons: 'Revoke' (red) and 'Certify' (green). Red arrows point from the 'Revoke' and 'Certify' buttons to the 'Acknowledge' box. At the bottom of the window, there is a checkbox labeled 'I acknowledge that I am responsible for certifying or revoking my users' continued use of the assigned role.' with a red arrow pointing to it. Below the checkbox are two buttons: 'Go to My Annual Role Certifications' (blue) and 'Revoke' (red) and 'Certify' (green).</p> <p>Figure 11: User Details Window</p>

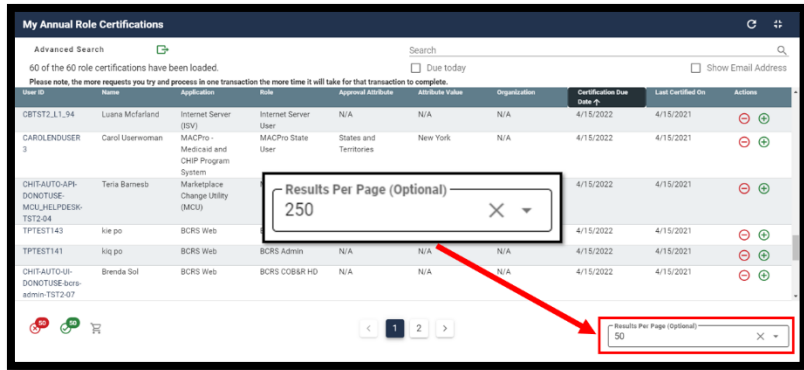
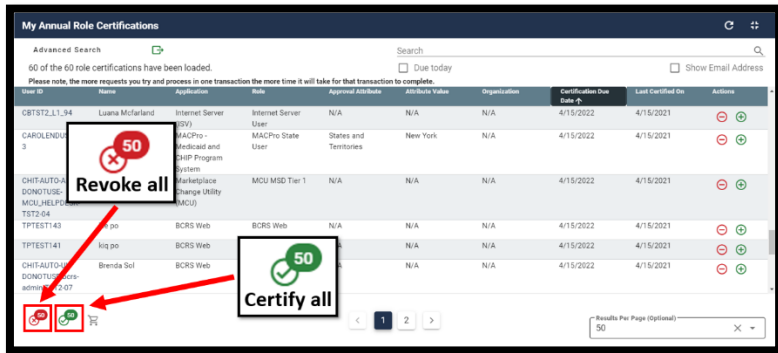
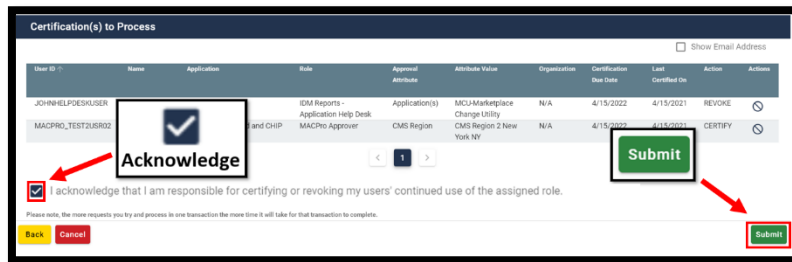
7. How to Use the Cart to Certify and Revoke Multiple User Roles

The Cart feature enables Approvers to certify and revoke multiple user roles simultaneously.

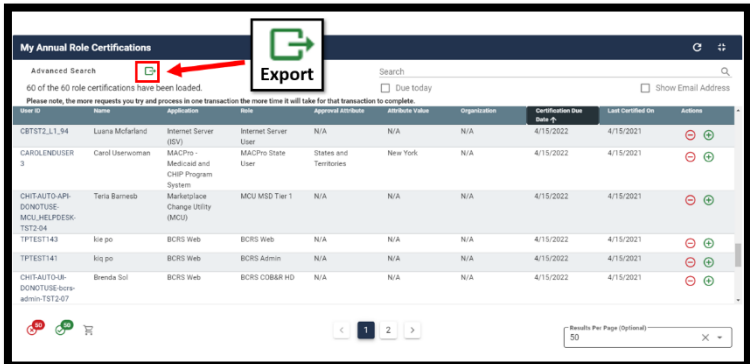
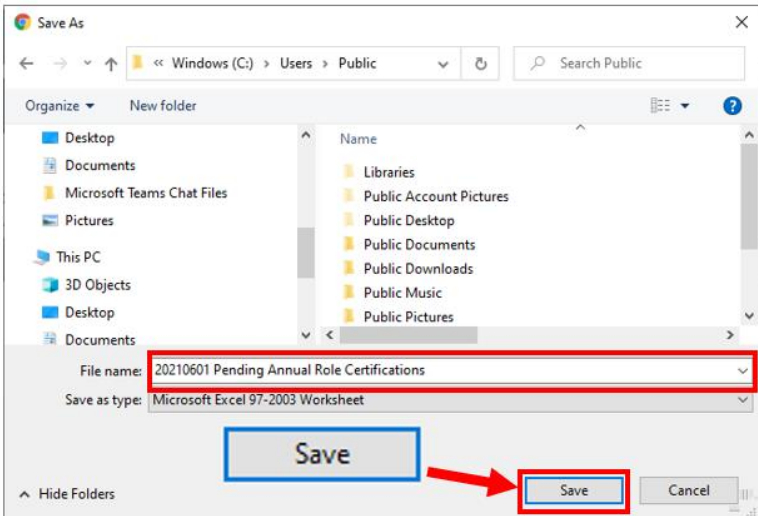
Procedure	Screenshots
<ol style="list-style-type: none"> Open the My Annual Role Certifications window. Certify or Revoke the user's role. <ol style="list-style-type: none"> Click the Certify button to certify the user's role. Each certified role record turns green. OR Click the Revoke button to revoke the user's role. Each revoked role record turns red. 	 <p>Figure 12: My Annual Role Certifications Certify/Revoke Controls</p>
<ol style="list-style-type: none"> (Optional) Click the Remove from Cart button to reverse the certify or revoke action. Click the Cart button. 	 <p>Figure 13: My Annual Role Certifications Cart Controls</p>
<p><i>The Certification(s) to Process window appears.</i></p> <ol style="list-style-type: none"> Click the Acknowledge box. Click the Submit button. <p><i>The system displays a message that states the action was successful.</i></p>	 <p>Figure 14: My Annual Role Certifications Acknowledge/Submit Controls</p>

8. How to Bulk Certify/Revoke Multiple Users' Roles

The Bulk Certify/Revoke feature enables Approvers to select all user roles that are displayed on the page then bulk-submit them for certification or revocation.

Procedure	Screenshots
<ol style="list-style-type: none"> Open the My Annual Role Certifications window. (Optional) Use the Pagination control to adjust the number of records per page. WARNING: The more role certifications you try to process in one transaction, the more time it will take for that transaction to complete. 	 <p>Figure 15: My Annual Role Certifications Pagination Controls</p>
<ol style="list-style-type: none"> Certify or Revoke all displayed roles. <ol style="list-style-type: none"> Click the Certify all button to certify all roles displayed on the page. OR Click the Revoke all button to revoke all roles displayed on the page. 	 <p>Figure 16: My Annual Role Certifications Certify/Revoke Controls</p>
<p>The Certification(s) to Process window appears.</p> <ol style="list-style-type: none"> Click the Acknowledge box. Click the Submit button. <p>The system displays a message that states the action was successful.</p>	 <p>Figure 17: My Annual Role Certifications Acknowledge/Submit Controls</p>

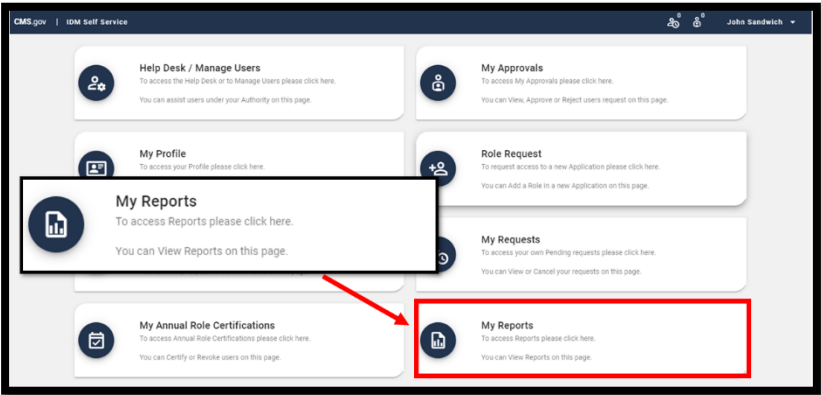

9. How to Export a List of Pending Role Certification Records to an Excel Spreadsheet

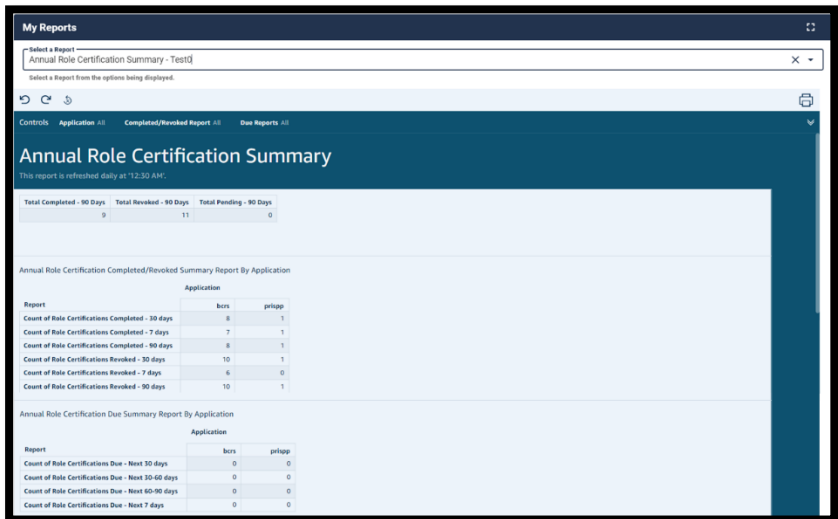
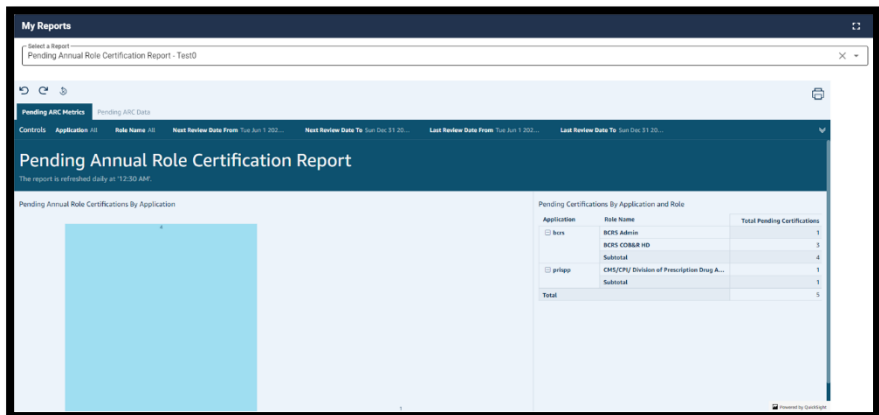
Procedure	Screenshots																																																																						
<div>1) Open the My Annual Role Certifications window.</div> <div>2) Click the Export button and select the output format.</div>	<div><table><thead><tr><th>User ID</th><th>Name</th><th>Application</th><th>Role</th><th>Approved Attribute</th><th>Attribute Value</th><th>Organization</th><th>Certification Due Date</th><th>Last Certified On</th><th>Actions</th></tr></thead><tbody><tr><td>CBTST2_11_54</td><td>Lucina McFarland</td><td>Internet Server (ISV)</td><td>Internet Server User</td><td>N/A</td><td>N/A</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr><tr><td>CARLENDUSER3</td><td>Carol Uerwomon</td><td>MACPro Medical and CHIP Program System</td><td>MACPro State User</td><td>States and Territories</td><td>New York</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr><tr><td>CHTAUTO-APS-DONOTUSE-MCU-HELPDESK-TST2-04</td><td>Taria Barnesb</td><td>Marketplace Change Utility (MCU)</td><td>MCU MSD Tier 1</td><td>N/A</td><td>N/A</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr><tr><td>TPTEST143</td><td>Ike po</td><td>BCRS Web</td><td>BCRS Web</td><td>N/A</td><td>N/A</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr><tr><td>TPTEST141</td><td>Ike po</td><td>BCRS Web</td><td>BCRS Admin</td><td>N/A</td><td>N/A</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr><tr><td>CHTAUTO-APS-DONOTUSE-admin-TST2-07</td><td>Brenda Sol</td><td>BCRS Web</td><td>BCRS COBBR HD</td><td>N/A</td><td>N/A</td><td>N/A</td><td>4/15/2022</td><td>4/15/2021</td><td>[Icons]</td></tr></tbody></table></div> <div>Figure 18: My Annual Role Certifications Export Control</div>	User ID	Name	Application	Role	Approved Attribute	Attribute Value	Organization	Certification Due Date	Last Certified On	Actions	CBTST2_11_54	Lucina McFarland	Internet Server (ISV)	Internet Server User	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]	CARLENDUSER3	Carol Uerwomon	MACPro Medical and CHIP Program System	MACPro State User	States and Territories	New York	N/A	4/15/2022	4/15/2021	[Icons]	CHTAUTO-APS-DONOTUSE-MCU-HELPDESK-TST2-04	Taria Barnesb	Marketplace Change Utility (MCU)	MCU MSD Tier 1	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]	TPTEST143	Ike po	BCRS Web	BCRS Web	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]	TPTEST141	Ike po	BCRS Web	BCRS Admin	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]	CHTAUTO-APS-DONOTUSE-admin-TST2-07	Brenda Sol	BCRS Web	BCRS COBBR HD	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]
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CBTST2_11_54	Lucina McFarland	Internet Server (ISV)	Internet Server User	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]																																																														
CARLENDUSER3	Carol Uerwomon	MACPro Medical and CHIP Program System	MACPro State User	States and Territories	New York	N/A	4/15/2022	4/15/2021	[Icons]																																																														
CHTAUTO-APS-DONOTUSE-MCU-HELPDESK-TST2-04	Taria Barnesb	Marketplace Change Utility (MCU)	MCU MSD Tier 1	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]																																																														
TPTEST143	Ike po	BCRS Web	BCRS Web	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]																																																														
TPTEST141	Ike po	BCRS Web	BCRS Admin	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]																																																														
CHTAUTO-APS-DONOTUSE-admin-TST2-07	Brenda Sol	BCRS Web	BCRS COBBR HD	N/A	N/A	N/A	4/15/2022	4/15/2021	[Icons]																																																														
<div>The Save As window appears.</div> <div>3) Click the Save button.</div> <div>The file is exported.</div>	<div></div> <div>Figure 19: File Save Window</div>																																																																						

10. How to View the IDM Annual Role Certification Reports

The IDM Annual Role Certification Reports consist of two reports:

- **Annual Role Certification Summary Report** - Displays a summary of the total count(s) of all user roles that were certified, revoked, or are pending annual role certification for each application an Approver is responsible for. The report data is presented a tabular format.
- **Pending Annual Role Certification Report** - Displays a count of pending annual role certifications categorized by application and by application and role for each application an Approver is responsible for. The report data is presented in both a graphical and a tabular format.

Procedure	Example
<p><i>NOTE: The My Reports button is available to users who have been approved for the IDM My Reports role.</i></p> <p><i>The My Reports role is obtained using the IDM Self Service Role Request feature.</i></p> <ol style="list-style-type: none"> 1) Access the IDM Self Service user interface. 2) Click the My Reports button. 	 <p>Figure 20: IDM Self Service User Interface</p>
<p><i>The My Reports window appears.</i></p> <ol style="list-style-type: none"> 3) Select the Annual Role Certification Summary report or the Pending Annual Role Certification report. 	 <p>Figure 21: Report Selection Window</p>

Procedure	Example																																																									
<p>The screen refreshes and the selected report appears.</p>	<div><p>Annual Role Certification Summary This report is refreshed daily at 12:30 AM.</p><p>Total Completed - 90 Days: 8 Total Revoked - 90 Days: 11 Total Pending - 90 Days: 0</p><p>Annual Role Certification Completed/Revoked Summary Report By Application</p><table><tr><th>Report</th><th>burs</th><th>prapp</th></tr><tr><td>Count of Role Certifications Completed - 30 days</td><td>8</td><td>1</td></tr><tr><td>Count of Role Certifications Completed - 7 days</td><td>7</td><td>1</td></tr><tr><td>Count of Role Certifications Completed - 90 days</td><td>8</td><td>1</td></tr><tr><td>Count of Role Certifications Revoked - 30 days</td><td>10</td><td>1</td></tr><tr><td>Count of Role Certifications Revoked - 7 days</td><td>6</td><td>0</td></tr><tr><td>Count of Role Certifications Revoked - 90 days</td><td>10</td><td>1</td></tr></table><p>Annual Role Certification Due Summary Report By Application</p><table><tr><th>Report</th><th>burs</th><th>prapp</th></tr><tr><td>Count of Role Certifications Due - Next 30 days</td><td>0</td><td>0</td></tr><tr><td>Count of Role Certifications Due - Next 30-60 days</td><td>0</td><td>0</td></tr><tr><td>Count of Role Certifications Due - Next 60-90 days</td><td>0</td><td>0</td></tr><tr><td>Count of Role Certifications Due - Next 90 days</td><td>0</td><td>0</td></tr></table></div> <p>Figure 22: Sample Annual Role Certification Summary Report</p> <div><p>Pending Annual Role Certification Report This report is refreshed daily at 12:30 AM.</p><p>Pending Annual Role Certifications By Application</p><table><tr><th>Application</th><th>Role Name</th><th>Total Pending Certifications</th></tr><tr><td><input type="checkbox"/> burs</td><td>BURS Admin</td><td>1</td></tr><tr><td></td><td>BURS COSAR HD</td><td>3</td></tr><tr><td></td><td>Subtotal</td><td>4</td></tr><tr><td><input type="checkbox"/> prapp</td><td>CHS/CPU Division of Prescription Drug A...</td><td>1</td></tr><tr><td></td><td>Subtotal</td><td>1</td></tr><tr><td>Total</td><td></td><td>5</td></tr></table></div> <p>Figure 23: Sample Pending Annual Role Certification Report</p>	Report	burs	prapp	Count of Role Certifications Completed - 30 days	8	1	Count of Role Certifications Completed - 7 days	7	1	Count of Role Certifications Completed - 90 days	8	1	Count of Role Certifications Revoked - 30 days	10	1	Count of Role Certifications Revoked - 7 days	6	0	Count of Role Certifications Revoked - 90 days	10	1	Report	burs	prapp	Count of Role Certifications Due - Next 30 days	0	0	Count of Role Certifications Due - Next 30-60 days	0	0	Count of Role Certifications Due - Next 60-90 days	0	0	Count of Role Certifications Due - Next 90 days	0	0	Application	Role Name	Total Pending Certifications	<input type="checkbox"/> burs	BURS Admin	1		BURS COSAR HD	3		Subtotal	4	<input type="checkbox"/> prapp	CHS/CPU Division of Prescription Drug A...	1		Subtotal	1	Total		5
Report	burs	prapp																																																								
Count of Role Certifications Completed - 30 days	8	1																																																								
Count of Role Certifications Completed - 7 days	7	1																																																								
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Count of Role Certifications Revoked - 7 days	6	0																																																								
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<input type="checkbox"/> prapp	CHS/CPU Division of Prescription Drug A...	1																																																								
	Subtotal	1																																																								
Total		5																																																								

11. How to Filter and Sort the IDM Annual Role Certification Reports

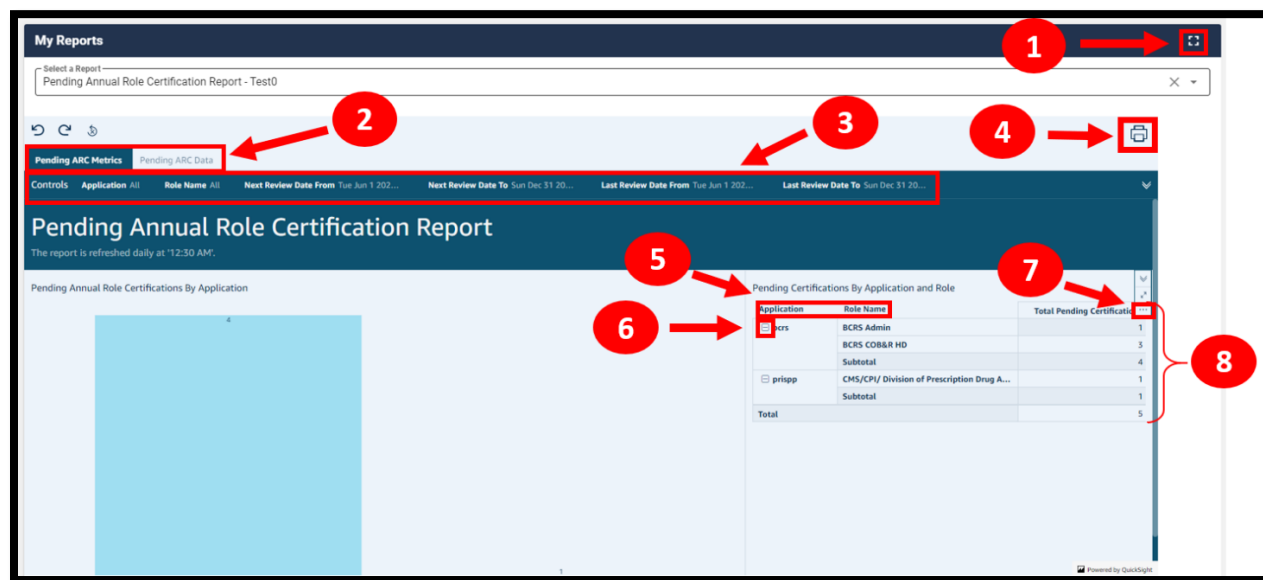


Figure 24: My Reports Window with Controls Highlighted

Table 2: My Reports Control Summary

Task	Reference	Action
View Full Screen	1	Click the Full Screen button to switch between full screen and normal view.
Select Report	2	Click the Report Selection button that corresponds to the desired report.
Filter Report Columns	3	Click a Report Filter button to filter the report to display specific information.
Print	4	Click the Print button to print the current report on a print or create a Portable Document Format (.PDF) file.
Sort Report Columns	5	Click a Column Header to change the sort order of the report data based on the order of the selected column
Expand/Collapse	6	Click the Expand/Collapse button to expand or collapse the list of role names.
Export Options Menu	7	Click the Export Options button to select the export format and export the report.
Report Body	8	Click the Report Body to display or hide the Export Options menu.

12. How to Print the IDM Annual Role Certification Reports

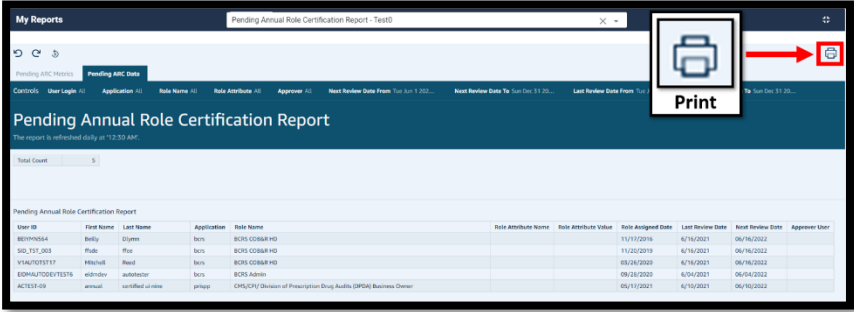
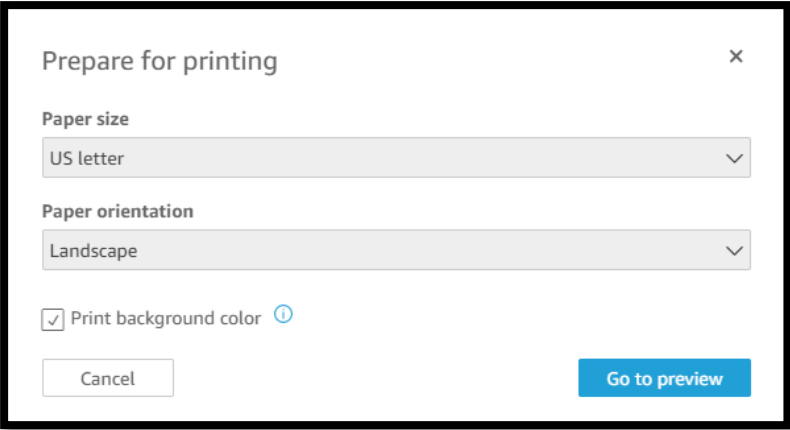
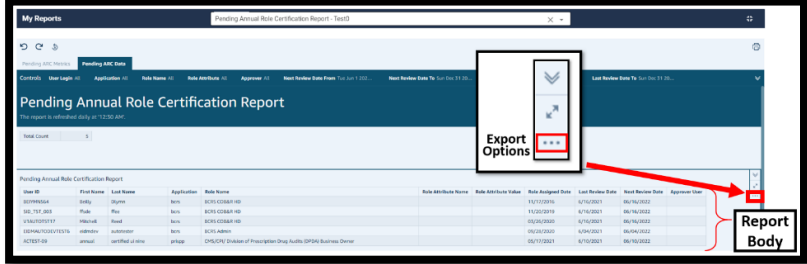
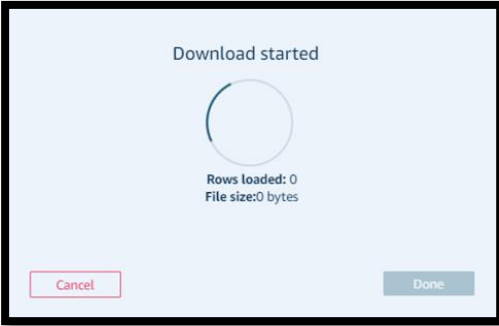
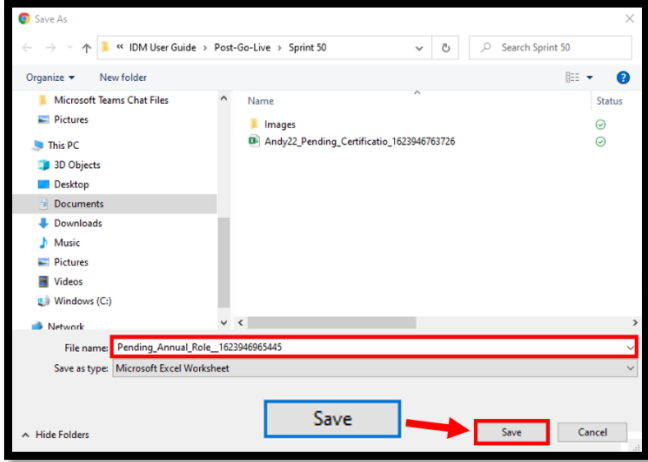
Procedure	Example
<ol style="list-style-type: none"> 1) View the desired IDM Annual Role Certification Report. 2) Click the Print button and choose the Print option. 	 <p>The screenshot shows the 'Pending Annual Role Certification Report' page. At the top right, there is a 'Print' button with a printer icon. A red box highlights this button, and a red arrow points to a print icon in the top right corner of the browser window.</p>
<p><i>The Prepare for Printing window appears.</i></p> <ol style="list-style-type: none"> 3) (Optional) Change the Paper size and/or the Paper orientation. 4) (Optional) Select the Print background color option if the report title cannot be seen against a white background. 5) Click the Go to preview button. 6) Click the Print button. 	 <p>The 'Prepare for printing' dialog box is shown. It has a title bar with a close button. Inside, there are two dropdown menus: 'Paper size' set to 'US letter' and 'Paper orientation' set to 'Landscape'. Below these is a checkbox labeled 'Print background color' which is checked. At the bottom, there are two buttons: 'Cancel' and 'Go to preview'.</p>

Figure 25: Pending Annual Role Certification Report Print Button

Figure 26: Print Options Window

13. How to Export the IDM Annual Role Certification Reports to an Excel Spreadsheet

Procedure	Example
<ol style="list-style-type: none"> 1) View the desired IDM Annual Role Certification Report. 2) (Optional) If the Export Options menu is not already visible, click any row of the Report Body. 3) Click the Export Options button and select the export format. 	 <p>Figure 27: Pending Annual Role Certification Report Export Options Button</p>
<p><i>The Download Status window appears and displays the progress of the download operation.</i></p>	 <p>Figure 28: Download Status Window</p>
<p><i>The Save As window appears after the download is complete.</i></p> <ol style="list-style-type: none"> 4) Click the Save button. 5) Click the Done button on the Download Status window. 	 <p>Figure 29: File Save Window</p>

Appendix A: Acronyms

Table 3: Acronyms

Acronym	Literal Translation
ARC	Annual Role Certification
C-HIT	Chags Health Information Technology
CMS	Centers for Medicare & Medicaid Services
CSV	Comma Separated Value
IDM	Identity Management
PDF	Portable Document Format
QA	Quality Assurance
UI	User Interface

Appendix B: Approvals

The undersigned acknowledge that they have reviewed this document and agree with the information presented within this document. Changes to this document will be coordinated with, and approved by, the undersigned, or their designated representatives.

Table 4: Approvals

Document Approved By	Date Approved
Carla Layne, EIDM Contracting Officer Representative, CMS	Date
Verne Webster, EIDM Government Task Leader, CMS	Date
Charles Lall, IDM Project Manager, C-HIT	Date
Micalina Mendoza, IDM QA Manager, C-HIT	Date